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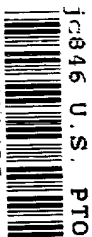
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	First Named Inventor <b>DAVID W SHERRER</b>	
	Title <b>2-DIMENSIONAL OPTICAL FIBER ARRAY MADE FROM ETCHED STICKS HAVING NOTCHES</b>	

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
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# **VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(d)) – SMALL BUSINESS CONCERN**

Application No.: not yet assigned  
 Filing Date: filed herewith  
 Applicant(s): David W Sherrer, Dan A Steinberg, and Mindaugas F Dautartas  
 Title: **2-Dimensional Optical Fiber Array Made from Etched Sticks having Notches**

I hereby declare that I am the owner of, or an official empowered to act on behalf of, the entity identified below:

Name of Concern: **ACT MicroDevices, Inc.**  
 Address of Concern: **7586 Peppers Ferry Loop  
 Radford, VA, 24141**

I hereby declare that the concern identified above qualifies as a small business concern as defined in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention identified above and described in the application for Letters Patent filed herewith.

If the rights held by the concern identified above are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)


Name:	There is no such concern.	<input type="checkbox"/> Individual
Address:		<input type="checkbox"/> Small Business Concern
		<input type="checkbox"/> Nonprofit Organization

I acknowledge the duty to file, in this application for patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

ASSIGNEE: ACT MicroDevices, Inc.  
 7586 Peppers Ferry Loop  
 Radford, VA, 24141

Official Authorized to Act on Behalf of Assignee:

Signature:   
 Name: David W. Sherrer  
 Title: President

7/13/00  
 Date

Patent Application of  
David W. Sherrer, Dan A. Steinberg, and Mindaugas F. Dautartas  
for  
2-Dimensional Optical Fiber Array Made from Etched Sticks  
Having Notches

**RELATED APPLICATIONS**

The present application claims the benefit of priority of copending provisional application 60/195,559, filed on 04/06/2000, which is hereby incorporated by reference.

**FIELD OF THE INVENTION**

The present invention relates generally to 2-dimensional optical fiber arrays. More particularly, it relates to a 2-D fiber array structure and a method for making the structure. 2-D fiber arrays are often used in optical communications and optical switching devices.

**BACKGROUND OF THE INVENTION**

Arrays of optical fibers are used in fiber connectors, optical fiber switches (e.g. free space optical switches) and various kinds of sensors and displays. Typically in such optical fiber arrays, the optical fiber must be positioned with high accuracy (e.g. within  $\pm 1$  micron).

1-dimensional (1-D) fiber arrays are commonly manufactured using wet anisotropic etching of  $\langle 100 \rangle$  silicon to form V-grooves. Optical fibers placed in the V-grooves are accurately located.

2-dimensional fiber arrays for use in free-space optical switches are currently in high demand. A problem with 2-D optical fiber arrays is that they are very difficult to manufacture with high accuracy.

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One technique used to make accurate 2-D fiber arrays is to directionally etch lithographically-defined holes through a wafer of material (e.g. silicon). Optical fibers are then inserted into the holes. The optical fibers are accurately located because the holes are defined lithographically. The holes can be made using reactive ion etching (RIE) or anisotropic wet etching of silicon, for example. A substantial problem with this technique is that inserting optical fibers through holes is very slow and tedious. Often, the optical fibers break during insertion.

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Another technique for making 2-D arrays is to stack V-groove chips (e.g. silicon V-groove chips) having V-grooves on both sides of the chip. A substantial problem with this technique is that the location of the optical fibers is dependent upon the thickness of the substrates used to make the V-groove chips. Since it is difficult to control the thickness of substrates to the required tolerances, run-out error occurs in 2-D fiber arrays having several stacked V-groove chips. US pat. No. 5,044,711 to Saito discloses a 2-D optical fiber array made from stacked V-groove chips.

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US Pat no. 5,483,611 to Basavanhally discloses a 2-D optical fiber array having stacked 1-D V-groove arrays. The apparatus of Basavanhally employs mechanical adjustments for positioning the 1-D V-groove fiber arrays.

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**ACT-120**

US Pat no. 4,407,562 to Young discloses an optical switch having a 2-D fiber array made from wafers having V-grooves. The 2-D fiber array is made from stacked V-groove chips.

5 US Pat. No. 3,864,018 to Miller discloses a 2-D fiber array made from a stack of V-groove chips. The thickness of the V-groove chips must be accurately controlled for accurate fiber positioning.

10 US pat. No. 4,046,454 to Pugh et al. discloses yet another 2-D fiber array made from stacking V-groove chips. The fiber array of Pugh et al. has layers of compliant material that press optical fibers into the V-grooves.

15 US Pat. No. 5,146,532 to Hodge discloses an optical fiber retaining device for holding optical fibers. The device has interlocking plastic pieces that can be stacked. The fiber holder of Hodge is not suitable for making precision 2-D optical fiber arrays.

20 There exists a need in the art of optical fiber devices for an accurate 2-dimensional fiber array that is easy to assemble. Such a 2-D fiber array would be useful for making optical switches and other devices.

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**OBJECTS AND ADVANTAGES OF THE INVENTION**

Accordingly, it is a primary object of the present invention to provide a 2-dimensional optical fiber array that:

30 1) is easy to assemble and does not require insertion of optical fibers through tiny holes;

2) provides extremely accurate alignment of optical fibers;

3) provides for arbitrary 2-D fiber arrangements (e.g. hexagonal grid, square grid) defined according to a lithographic pattern;

- 5 4) does not require the use of chips having accurately defined thickness.

These and other objects and advantages will be apparent upon reading the following description and accompanying drawings.

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#### SUMMARY OF THE INVENTION

These objects and advantages are attained by a 2-D optical fiber array having a plurality of stacked, etched sticks, and an optical fiber disposed between the etched sticks. The etched sticks have notches that form cages for holding the optical fibers. The notches have surfaces that are directionally dry-etched in a direction perpendicular to a front surface of the array (the optical fiber is roughly perpendicular to the front surface).

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The etched sticks may have top and bottom surfaces that are directionally dry etched. Alternatively, the etched sticks have top and bottom surfaces that are cleaved surfaces. In case the top and bottom surfaces are cleaved, the etched sticks are stacked so that complementary cleaved surfaces are adjacent to one another.

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The etched sticks can also have alignment holes and alignment rods disposed in the alignment holes of the etched sticks. The alignment holes and alignment rods are oriented perpendicular to the optical fibers and extend through an interior of the etched sticks. Also, the front surface of the 2-D array can have etched pits or grooves (e.g. anisotropically etched V-grooves).

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The etched sticks can be diffusion bonded together, glued together (e.g. with epoxy), or adhered together with materials such as spin-on-glass (SOG) or sol-gel materials. Preferably, the etched sticks are made of silicon.

In an alternative embodiment of the invention, the notches are not necessarily dry etched, but are made according to many other techniques such as laser drilling. In this embodiment, the top and bottom surfaces of the etched sticks are necessarily cleaved or directionally dry etched.

The present invention also includes a method for making the etched sticks by making a perforated chip having a 2-D array of holes. The perforated chip is cleaved to separate it into etched sticks. Th cleave lines necessarily intersect the holes so that fibers can be placed in the resulting notches.

#### DESCRIPTION OF THE FIGURES

Fig. 1 shows a perspective view of the 2-D fiber array according to the present invention.

Fig. 2 shows a perspective view of a single etched stick.

Fig. 3 shows a top view of optical fibers disposed in the notches of an etched stick.

Figs. 4a-c show front views of various designs for etched sticks.

Fig. 5 shows a front view of an etched stick having long flanges.

Fig. 6a shows a front view of a fiber array according to the present invention.

Fig. 6b shows a front view of a fiber array where the etched sticks have notches in only their top surface.

Fig. 7 shows a wafer and mask patterns used for making the etched sticks by directional dry etching.

Fig. 8 shows etched sticks made by the mask in Fig. 7.

Fig. 9a, 9b and 10 show alternative embodiments for the flanges.

Fig. 11 shows a cross sectional side view of the fiber array.

Fig. 12 shows a cross sectional side view of the array cut through the flanges.

Fig. 13a shows a perforated chip used in making etched sticks according to a preferred embodiment of the present invention.

Fig. 13b shows shows a perforated chip that has joined holes. The perforated chip of Fig. 13b only need to be cleaved at the flanges to separate it into etched sticks.

Fig. 14 shows the perforated chip is cleaved to separate it into etched sticks.

Fig. 15 shows a cross sectional side view of an array (cut through the flanges) made by cleaving.

Fig. 16 shows a perspective view of a jig used for assembling the fiber array from optical fibers and etched sticks.

Fig. 17 shows a front view of a preferred embodiment where the etched sticks have alignment holes for improved alignment.

Fig. 18 shows a perspective view of a single etched stick having alignment holes.

Fig. 19 shows an edge-on view of two bonded wafers used for making the etched sticks with alignment holes.

Fig. 20 shows a top view of a wafer and mask patterns used for making etched sticks with alignment holes.

Fig. 21 shows a top view of a wafer and mask pattern used for making etched sticks with grooved endfaces.

Fig. 22 shows a single etched stick having grooves endfaces.

Fig. 23 shows a side view of a 2-D fiber array having two separate stacks of etched sticks. The relative position of the two stacks provide angular control of the optical fibers.



Fig. **24** shows an etched stick having vertically oriented V-grooves in the front surface. The V-grooves can be used to provide lateral alignment in the jig **68** of **Fig. 16**.

Fig. **25** shows a cross sectional side view of a double-sided etched stick.

Fig. **26** shows a cross sectional side view of a 2-D array made from double-sided etched sticks.

Fig. **27** shows a perspective view of a double-sided etched stick.

Figs. **28a-28e** illustrate a preferred method for making a double-sided etched stick.

# **DETAILED DESCRIPTION**

The present invention provides 2-dimensional (2-D) fiber arrays that are accurate and easy to assemble. According to the present invention, 'sticks' are directionally etched (e.g. using deep reactive ion etching, DRIE) from a wafer of material (e.g. silicon, silica). Each stick has notches for accommodating optical fibers. The dimensions and shape of the sticks and notches are defined by a lithographic mask. The fiber array is made by alternately stacking the optical fibers and notched sticks. In the present invention, the optical fibers and sticks are arranged so that the optical fibers extend in a direction parallel with the wafer thickness direction of the etched sticks. In an alternative embodiment, the etched sticks are cleaved from a wafer so that they have perfectly matching surfaces for stacking.

**Fig. 1** shows a perspective view of the 2-D fiber array according to the present invention. The 2-D array of the present invention has optical fibers **20** disposed between etched sticks **22** having notches **24**. The notches **24** form cages that enclose the optical fibers **20**. The optical fibers **20** are

preferably uncoated glass fibers known in the art. The fibers can be round or have other shapes (e.g. a D-shape, as known for polarization-maintaining fibers). The optical fibers **20** have endfaces **23**. The etched sticks are preferably made of silicon. The sticks **22** can also be made of other materials that can be etched using directional dry etching (DRIE, RIE) techniques, such as silica. Preferably, thickness **26** is in the range of about 0.3-2 millimeters, or, more preferably, in the range of about 0.6-1 millimeter. Thickness **26** is determined by a thickness of the wafers used to make the etched sticks. During fabrication of the etched sticks, directional dry etching proceeds in a direction parallel with the optical fibers **20**. Generally, for silica optical fibers, the etched sticks should have a thickness of about 4-7 times the diameter of the optical fibers.

Optionally, some or all of the etched sticks have micromachined pits **21**. The pits **21** can be etched in silicon using an anisotropic etchant such as KOH, for example. The pits **21** can be made using other techniques as well, including isotropic etching, dry etching, or laser machining, for example. The pits **21** can be defined lithographically so that they are accurately located with respect to the mechanical features (e.g. notches) of the etched sticks. The pits **21** can be used to passively align optical components (e.g. lenslet arrays, laser arrays) to the optical fibers **20**.

**Fig. 2** shows a single etched stick **22** according to the present invention. The etched stick has a thickness **26** that is defined by (i.e. equal to) a thickness of a wafer used to make the etched stick. A front surface **32** of the etched stick is the top or bottom surface of the wafer used to make the etched stick. Preferably, the front surface is the side of the wafer that was masked during directional dry etching of the stick.

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Fig. 3 shows a top view of several optical fibers disposed in notches 24 of an etched stick. DRIE processes typically cannot produce perfectly vertical sidewalls, but rather produce slightly undercut sidewalls. Therefore, it is preferable for the optical fibers 20 to be placed so that fiber endfaces 23 are located at the surface of the etched stick that was masked during dry etching. For example, if the front surface 32 was masked during dry etching of the notches 24, then the optical fiber 20 should be oriented as shown, with the fiber endfaces 23 flush with the front surface 32. Arranging the optical fiber endfaces 23 on the masked side of the etched sticks 22 provides for improved alignment of the optical fibers. Notch 24u illustrates undercutting where the dry etching mask was on the front face 32. Notch 24u is wider on the rear surface 34 of the etched stick 22.

Figs. 4a-4c show front views of several designs for etched sticks.

Fig. 4a shows an etched stick having notches 24 staggered so that the etched stick has a zig-zag shape. Preferably, the etched sticks have flat portions 36 between the notches 24.

Fig. 4b shows an etched stick having notches 24 aligned opposite one another. This embodiment is not preferred because the stick is susceptible to breaking at the notch corners.

Fig. 4c shows an etched stick having round notches 24. Round notches are less susceptible to breaking than notches with sharp corners.

Fig. 5 shows an etched stick having large flanges 38. Flanges provide surfaces for mating the etched sticks to one another.

Flange length **40** can be about 0.5-10 millimeters, or about 1, 2, 4, 5 or 7 millimeters.

**Fig. 6a** shows a front view of a 2-D fiber array according to the present invention. The optical fibers **20** should be 'caged' by the notches **24**. In other words, the separation between the etched sticks should be determined by only the dimensions of the sticks, and not the diameter of the optical fibers **20**. The notches **24** should be sized so that openings formed by the notches will always be larger than the largest optical fiber expected. An abnormally large optical fiber larger than the cages will dislocate the optical fibers in the array.

**Fig. 6b** shows a front view of an alternative embodiment of the present invention where the sticks **22** have notches **24** on one side only.

As noted, the etched sticks **22** are made by directional dry etching (e.g. DRIE). **Fig. 7** shows a top view of a wafer **50** and mask **52** for making the etched sticks. The mask shape is the shape of the etched sticks as viewed from the front (**Figs. 4a-4c** and **Fig. 5**). The thickness of the wafer **50** is the thickness **26** of the etched sticks **22**. The mask can be made of metal, silicon nitride, silicon oxide or many other materials known in the art. Preferably, the wafer is made of silicon. The mask may remain on the etched sticks, or it may be removed after the sticks are fabricated.

Dry etching completely through the wafer **50** of **Fig. 7** produces the etched sticks shown in **Fig. 8**.

Preferably, if pits **21** are formed in the etched sticks, the pits **21** and sticks are fabricated using a single lithographic step process. For example, the metal masking method described

in US patent application 09/519,165 (herein incorporated by reference) by David Sherrer and Gregory Ten Eyck can be used to pattern the pits **21** and etched sticks using the same single lithographic mask. In this case, the pit **21** will generally be circumscribed by a metal ring **51**. Defining the sticks and pits **21** in the same masking step assures that the pits are accurately located with respect to the notches.

**Figs. 9a-b** show front views of etched sticks having positive lateral alignment features **54b** and negative lateral alignment features **54a**. The lateral alignment features **54a**, **54b** are defined by the mask in the dry etching process. The lateral alignment features **54** prevent the etched sticks from moving laterally (left-right) with respect to one another. This helps preserve optical fiber alignment. Preferably, the lateral alignment features **54a**, **54b** are designed so that a small gap **53** (e.g. 2-20 microns) exists between the sticks. The gap **53** helps to prevent dust particles from disturbing the alignment of the sticks. The positive and negative alignment features can have the complementary or different shapes.

**Fig. 10** shows a front view of etched sticks having pads **56** for a fixed separation between etched sticks **22**. The pads **56** can provide the gap **53** so that contaminant particles do not interfere with fiber alignment.

**Fig. 11** shows a cross sectional side view of a fiber array of the present invention. The front surface **32** was the surface masked during etching of the sticks **22**. Undercutting during dry etching causes the notches **24** to be larger at the rear surface **34**. Preferably, the front surface **32** and fiber endface **23** are flush as shown. The front surface **32** and fiber endface **23** can be polished simultaneously to produce a flush surface.

**Fig. 12** shows a cross sectional side view of stacked sticks cut through the flange **38**. Here, the effect of undercutting during dry etching produces wedge-shaped gaps **60**. For good contact between the flanges (i.e. contact at more than just the front surface **32**), the gaps **60** should be as small as possible. This requires dry etching with essentially perfectly vertical sidewalls (zero undercut). The undercut of the dry etch is indicated by angle **61**. Preferably, the directional dry etching used in making the sticks has an undercut angle of less than 1 degree. Generally, angle **61** should be as small as possible.

In an alternative method for making the etched sticks, a combination of directional dry etching and cleaving is used. Dry etching is used to create a perforated chip having holes sized and located for positioning optical fiber endfaces. Then, the perforated chip is cleaved into sticks.

**Fig. 13a** shows a top view of a perforated chip **62**. The perforated chip **62** has holes **64** that are sized and located for positioning optical fibers. In fact, the perforated chip may be used by inserting optical fibers into the holes **64** (but this is not part of the present invention). The perforated chip may be made of silicon, and may be about 300-1000 microns thick. The holes may be spaced at a pitch of about 250-500 microns. The perforated chip is preferably made using directional dry etching (DRIE), but other methods such as laser drilling or wet anisotropic etching of <100> silicon (forming square holes) may also be used. Directional dry etching is preferred because it is lithographically defined and hence extremely accurate.

**Fig. 13b** shows an alternative embodiment where the holes in the perforated chip are joined. The sticks comprising the perforated chip are only joined at the flange portion.

**Fig. 14** shows the next step in making the fiber arrays of the present invention from the perforated chip **62**. Here, the perforated chip **62** is cleaved along cleave lines **66**. Cleaving separates the perforated chip into etched sticks. The cleave lines necessarily intersect the holes **64**, forming notches **24**. This allows optical fibers to be placed onto the notches, rather than inserted through the holes **64**. In the case where the perforated chip has joined holes (shown in **Fig. 13b**), the perforated chip only needs to be cleaved at the flanges.

If the etched sticks **22** are separated by cleaving, then the top surface **25** and bottom surface **27** (shown in **Fig. 2**) are cleaved surfaces. When the etched sticks are reassembled with optical fibers to form the optical fiber array, it is preferable for the etched sticks to be stacked so that adjacent sticks in the perforated chip **62** are also adjacent in the assembled 2-D array. In other words, cleaved surfaces are rejoined in the array. This helps to assure accurate alignment of the etched sticks because the rejoined surfaces are complementary. It is preferable for the sticks to be stacked so that adjacent cleaved surfaces on adjacent sticks are complementary. In the case where the perforated chip has joined holes (as in **Fig. 13b**), only the top and bottom surfaces of the flanges will be cleaved surfaces.

**Fig. 15** shows a cross sectional side view of 3 stacked sticks having cleaved top and bottom surfaces. The sticks may have scribe lines **65** used to facilitate cleaving. Sticks have good contact at surface **67** because these surfaces were cleaved and



then rejoined. The surfaces are complementary because they were produced by cleaving.

The optical fiber arrays of the present invention are made by alternately stacking the etched sticks and optical fibers. Since the optical fibers do not have to be threaded through tiny holes, they are simple to make. However, during assembly, the sticks and fibers must be held in accurate alignment; preferably, mechanical fiduciarities are used to provide alignment during assembly of the array.

**Fig. 16** shows a perspective view of a jig **68** used in assembly of the present optical fiber arrays. A first etched stick **22a** is disposed in the jig **68**, which holds the stick in a fixed position. Optical fibers **20** are placed in the notches **24** of the first etched stick **22a**. After the fibers are placed, a second etched stick **22b**, is disposed on top of the fibers and first etched stick. Fibers and sticks are stacked until the array is finished. The jig **68** may be made of metal, ceramic, plastic or any other material.

Optionally, pits **21** (shown in **Fig. 1**) are used to align the etched sticks in the jig. Pits **21** can be used for alignment by providing posts or raised features (not shown) on the surfaces of the jig **68**. Posts on the jig **68** mate with the pits **21**, providing passive alignment for the etched sticks.

Preferably, the sticks and optical fibers **20** are held together by glue such as UV curable epoxy. The glue can be applied and cured after the entire array has been assembled. Alternatively, the sticks and fibers are held together using solder, diffusion bonds, chemical covalent bonds (e.g. Al-oxide bond), spin-on-glass (SOG), or sol-gel materials. For example, optical fibers and sticks can be coated with thin

metal films and then soldered together. If the sticks are made of silicon and coated with gold (e.g. 200 angstroms) on top and bottom surfaces, then they can be diffusion bonded together. Gold diffusion bonding of silicon can be performed at temperatures low enough to avoid damaging the optical fibers. Spin-on-glass can be applied after the array is assembled; the array is heated after SOG application to form the glass.

**Fig. 17** shows a front view of a preferred embodiment of the present invention where the etched sticks have alignment holes **70**. The alignment holes extend parallel to the front surface of the array and through the sticks (between top surface and bottom surfaces of the sticks. An alignment pin **72** (e.g. metal wire or glass fiber) is disposed with the alignment holes. The alignment holes and alignment pins help to fix the positions of the etched sticks.

**Fig. 18** shows a single etched stick having alignment holes **70**.

The alignment holes **70** can be made by bonding together two wafers having long grooves (e.g. such as anisotropically etched V-grooves in silicon). The grooves are aligned to form holes extending parallel to the wafer surface. **Fig. 19** shows an edge-on view of two bonded wafers having V-grooves aligned to form holes **74**. The holes **74** become alignment holes **70** when the wafers are cut or cleaved into etched sticks.

**Fig. 20** shows a top view of a wafer having holes **74** for providing alignment holes **70** in the etched sticks. Patterns **76** are masked for dry etching to form etched sticks.

The holes **74** and etched sticks can also be aligned as shown in **Fig. 21**. Here, the holes **74** are aligned to produce grooves in

the endfaces of the etched sticks. **Fig. 22** shows a top view of an etched stick having grooves **78** in the endfaces **80**.

**Fig. 23** shows another embodiment of the present invention where two stacks **84**, **86** of etched sticks are used for alignment of a single array of fibers. Here, angular control of the optical fibers is provided by relatively positioning the two stacks.

**Fig. 24** shows another embodiment of the present invention where a stick has vertically oriented grooves **88** on the front surface **32**. The grooves **88** can be formed (e.g. by anisotropic wet etching of silicon using KOH) prior to dry etching of the sticks. The grooves **88** can be used to provide lateral alignment of the etched sticks in the jig **68** of **Fig. 16**. For example, the jig **68** can have raised vertical lines for mating with the V-grooves **88**. Of course, the V-grooves do not need to be V-shaped; the grooves can have any shape such as a U-shape provided by isotropic etching. Also, V-grooves can be oriented parallel with the length of the etched stick.

**Fig. 25** shows a cross sectional side view of a single stick according to an alternative embodiment of the present invention. Here, this stick is 'double-sided'; the stick has a front portion **90** and a rear portion **92**. An etch-stop layer **94** (e.g. made of silicon nitride or silicon dioxide) separates the front and rear portions of the double-sided stick. The stick is made by directional dry etching from both the front surface **32** and the rear surface **34**. The stick is made by dry etching the front portion **90** from the front surface **32** to the etch stop layer **94** and dry etching the rear portion **92** from the rear surface to the etch stop layer **94**.

The thicknesses **96**, **98** of the front portion **90** and rear portion **92** can be in the range of about 0.3-2 millimeters, more preferably in the range of about 0.4-0.8 millimeters. The etch stop layer **94** can have a thickness **100** in the range of about 0.1-5 microns. The etch stop layer is only required for stopping the sry etch process and for bonding together the front portion and rear portion.

**Fig. 26** shows a cross sectional side view of a 2-D fiber array made with sticks shown in **Fig. 25**. The optical fibers contact the double-sided sticks at the front surface **32** and the rear surface **34**. Two points of contact between the sticks and fibers provide improved alignment compared to the embodiment of **Figs. 1** and **11**, where the optical fibers tend to contact the sticks only at the front surface **32**. Also, the embodiment of **Fig. 26** provides improved angular alignment of the optical fibers since the fibers are constrained at both the front surface **32** and rear surface **34**.

In a double-sided etched stick, the front surface **32** and rear surface **34** may be identical.

**Fig. 27** shows a perspective view of a single double-sided etched stick. The undercut angle cannot be seen in this view because the undercut angle is typically very small (e.g. about 1-3 degrees). The notches **24** extend through both the front portion **90** and the rear portion **92**.

**Figs 28a-28e** Illustrate a method for making the double-sided etched sticks shown in **Figs. 25**, **26**, and **27**.

**Fig. 28a**-Top and bottom silicon wafers **101**, **103** are bonded together with an intervening etch stop layer **102**. The silicon wafers can have the same or different thicknesses. This

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structure is essentially the same as an SOI wafer. The thicknesses of the wafers determines (i.e. is equal to) the thickness of the front portion and rear portion of the etched sticks.

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**28a-28b**-Both sides of the wafer are identically patterned with a dry etch mask **104** (e.g. silicon nitride, metal, silicon dioxide). The patterns on both sides of the wafer should be aligned.

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**28b-28c**-Directional dry etching is performed on the top wafer down to the etch stop layer.

**28c-28d**-Directional dry etching is performed on the bottom wafer down to the etch stop layer.

**28d-28e**-The etch stop layer **102** is removed from exposed areas (e.g. by wet etching) to separate the sticks. The mask **104** may remain on the final product.

It is noted that pits **21** and V-grooves **88** can be formed on the double-sided sticks. In fact, pits **21** and/or V-grooves **88** can be formed on the front surface, rear surface, or both surfaces.

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It is also noted that a small misalignment is possible between the masks on the top and bottom silicon wafers. This will result in the notch having slightly different locations in the front portion and the rear portion. A small misalignment is tolerable if the thickness of the etched stick (i.e. front portion thickness + etch stop layer thickness + rear portion thickness) is great enough. An optical fiber can bend slightly to accommodate a small misalignment between the front portion and rear portion notches. For example, a front-rear

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misalignment of 1-3 microns is tolerable for a total stick thickness of 1500 microns where 125-micron diameter optical fiber is used. A 125-micron diameter optical fiber can bend 1-3 microns over a length of 1500 microns without problems.

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It is also noted that in the case where the etched sticks are cleaved, the holes for the optical fibers can be shaped to aid in cleaving. For example, the holes can be diamond-shaped with sharp corners so that a cleave crack propagates through the corners of the holes.

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It is also noted that the notches can have many different shapes within the present invention. The notches can be shaped like 1/2 an ellipse, 1/2 a square, or 1/2 a circle, for example.

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It will be clear to one skilled in the art that the above embodiment may be altered in many ways without departing from the scope of the invention. Accordingly, the scope of the invention should be determined by the following claims and their legal equivalents.

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## CLAIMS

What is claimed is:

1. An apparatus for aligning optical fibers in a 2-dimensional  
array, comprising:

- a) a plurality of etched sticks, each stick having a notch  
and a front surface, wherein the etched sticks are  
stacked so that the notch forms a cage;  
b) an optical fiber disposed in the cage and oriented  
perpendicular to the front surface;

wherein the notches have surfaces that are directional dry  
etched sidewall surfaces formed by directional dry  
etching perpendicular to the front surface.

2. The apparatus of claim 1 wherein the etched sticks have  
top and bottom surfaces, and the top and bottom  
surfaces are directional dry etched sidewall surfaces.

3. The apparatus of claim 1 wherein the etched sticks have  
top and bottom surfaces, and the top and bottom  
surfaces are cleaved surfaces.

4. The apparatus of claim 3 wherein the sticks are  
stacked so that adjacent cleaved surfaces on  
adjacent sticks are complementary.

5. The apparatus of claim 1 wherein directional dry etched  
surfaces are undercut less than 1 degree.

6. The apparatus of claim 1 wherein the etched sticks are  
made of silicon and are diffusion bonded together.

7. The apparatus of claim 1 wherein the etched sticks have top and bottom surfaces, and the top and bottom surfaces each have at least one notch.

5 8. The apparatus of claim 1 wherein the etched sticks have top and bottom surfaces, and the bottom surface of at least one etched stick does not have a notch.

10 9. The apparatus of claim 1 wherein the etched sticks have a thickness in the range of 300-1000 microns.

10. The apparatus of claim 1 wherein the etched sticks have flanges in the range of 1-20 millimeters long.

15 11. The apparatus of claim 1 wherein the etched sticks have alignment holes.

12. The apparatus of claim 11 further comprising alignment rods disposed in the alignment holes.

20 13. The apparatus of claim 1 wherein the sticks have positive and negative lateral alignment features.

25 14. The apparatus of claim 13 wherein the lateral alignment features are designed so that the sticks are separated by a gap **53**.

15. The apparatus of claim 1 wherein the sticks are bonded by spin-on-glass.

30 16. The apparatus of claim 1 wherein at least one stick has a pit **21** in the front surface.



17. The apparatus of claim 1 wherein at least one stick has a groove in the front surface.

18. The apparatus of claim 1 wherein at least one etched stick is a double-sided stick having:

- a) a front portion;
- b) a rear portion;

wherein the notch extends through the front portion and the rear portion, and

- c) an etch stop layer disposed between the front portion and the rear portion, wherein the etch stop layer is bonded to the front portion and the rear portion.

19. The apparatus of claim 18 wherein the front portion and the rear portion each have a thickness in the range of 300-1000 microns.

20. An apparatus for aligning optical fibers in a 2-dimensional array, comprising:

- a) a plurality of etched sticks each having a notch and a front surface, wherein the etched sticks are stacked so that the notch forms a cage;
- b) an optical fiber disposed in the cage and oriented perpendicular to the front surface;

wherein the etched sticks have top and bottom surfaces, and the top and bottom surfaces are cleaved surfaces.

21. The apparatus of claim 20 wherein the sticks are stacked so that adjacent cleaved surfaces on adjacent sticks are complementary.

22. The apparatus of claim 20 wherein the etched sticks are made of silicon and are diffusion bonded together.
23. The apparatus of claim 20 wherein the etched sticks have top and bottom surfaces, and the top and bottom surfaces each have at least one notch.
24. The apparatus of claim 20 wherein the etched sticks have top and bottom surfaces, and the bottom surface of at least one etched stick does not have a notch.
25. The apparatus of claim 20 wherein the etched sticks have a thickness in the range of 300-1000 microns.
26. The apparatus of claim 20 wherein the etched sticks have flanges at least 1 millimeter long.
27. The apparatus of claim 20 wherein the etched sticks have alignment holes.
28. The apparatus of claim 27 further comprising alignment rods disposed in the alignment holes.
29. The apparatus of claim 20 wherein the notches have surfaces that are directional dry etched sidewall surfaces formed by directional dry etching perpendicular to the front surface.
30. The apparatus of claim 20 wherein the notches have surfaces that are laser drilled sidewall surfaces formed by laser drilling perpendicular to the front surface.

31. The apparatus of claim 20 wherein the notches have surfaces that are anisotropically wet etched sidewall surfaces formed by anisotropic wet etching perpendicular to the front surface, and wherein the sticks are made of single crystal silicon.

32. The apparatus of claim 20 wherein the sticks are bonded by spin-on-glass.

33. The apparatus of claim 20 wherein at least one stick has a pit **21** in the front surface.

34. The apparatus of claim 20 wherein at least one stick has a groove in the front surface.

35. The apparatus of claim 20 wherein at least one etched stick is a double-sided stick having:

- a) a front portion;
- b) a rear portion;

wherein the notch extends through the front portion and the rear portion, and

- c) an etch stop layer disposed between the front portion and the rear portion, wherein the etch stop layer is bonded to the front portion and the rear portion.

36. The apparatus of claim 18 wherein the front portion and the rear portion each have a thickness in the range of 300-1000 microns.

37. A method for making a 2-dimensional optical fiber array, comprising the steps of:

- 5
- a) forming a perforated chip having a plurality of holes located according to a 2-dimensional pattern, wherein the holes are located along lines;
  - b) cleaving the chip along the lines of holes so that the perforated chip is separated into etched sticks, whereby the holes form notches in the etched sticks;
  - c) stacking the etched sticks with optical fibers disposed in the notches so that the optical fibers are arranged according to the 2-dimensional pattern.

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38. The method of claim 37 wherein the etched sticks are stacked so that complementary cleaved surfaces are rejoined.

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39. The method of claim 37 wherein step (a) is performed by directional dry etching.

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40. A method for making a 2-dimensional optical fiber array, comprising the steps of:

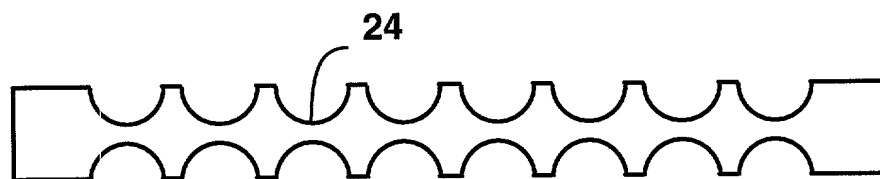
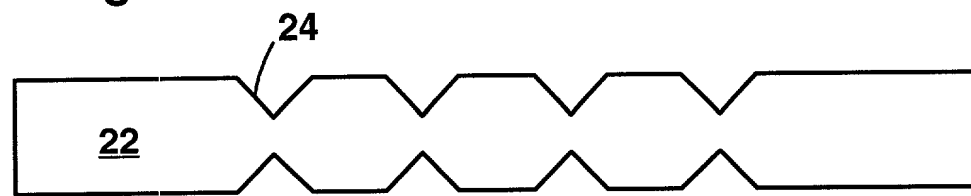
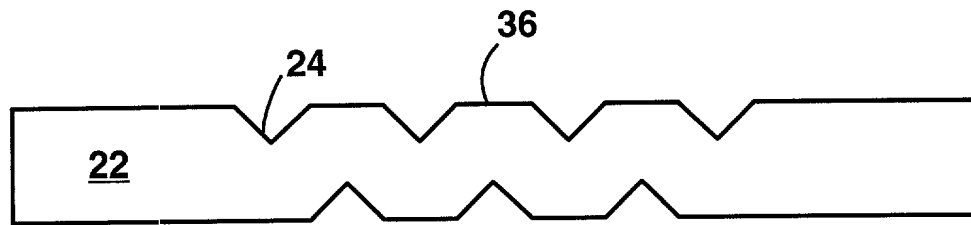
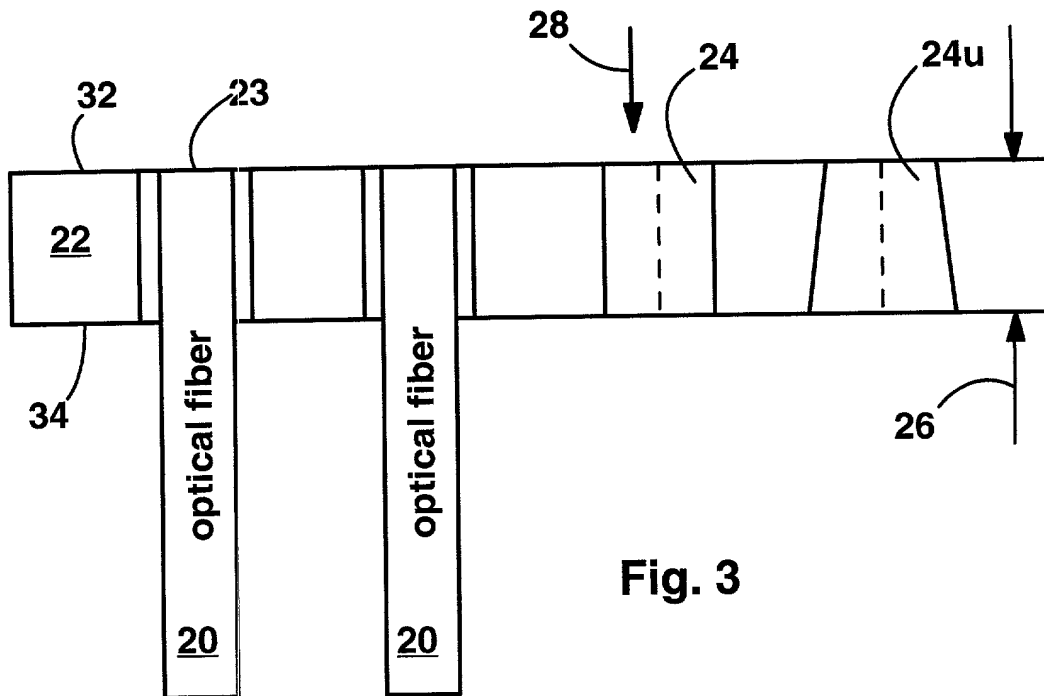
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- a) directionally dry etching a plurality of etched sticks from a flat substrate, wherein each etched stick has a notch, and wherein each etched stick has top and bottom surfaces defined by a mask during directional dry etching;
  - b) stacking the etched sticks with optical fibers disposed in the notches so that the optical fibers are arranged according to the 2-dimensional pattern and so that the optical fibers are caged by the notches, and so that the optical fibers are oriented essentially parallel with the directional dry etching direction.
- 30

**2-Dimensional Optical Fiber Array Made from Etched Sticks  
having Notches**

**ABSTRACT OF THE DISCLOSURE**

A 2-dimensional optical fiber array having stacked sticks with fibers disposed between the sticks. The sticks are made by directional dry etching. The shape of the sticks is defined by a lithographic mask. Each stick has notches for holding the optical fibers. Since the sticks are defined by a lithographic mask, the fibers are accurately located in the 2-D array. In an alternative embodiment, the sticks are made by dry etching holes in a wafer, and then cleaving the wafer into sticks. To make the array. Fibers are disposed between the sticks and the sticks are reassembled so that cleaved surfaces are rejoined. Also, double-sided sticks can be made from a wafer having an etch stop layer. Directional dry etching is performed from both sides of the wafer.









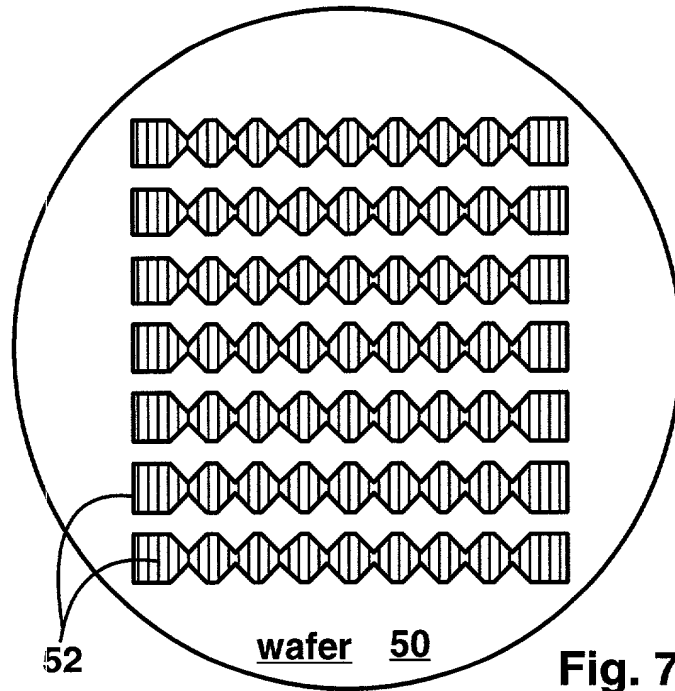


Fig. 7

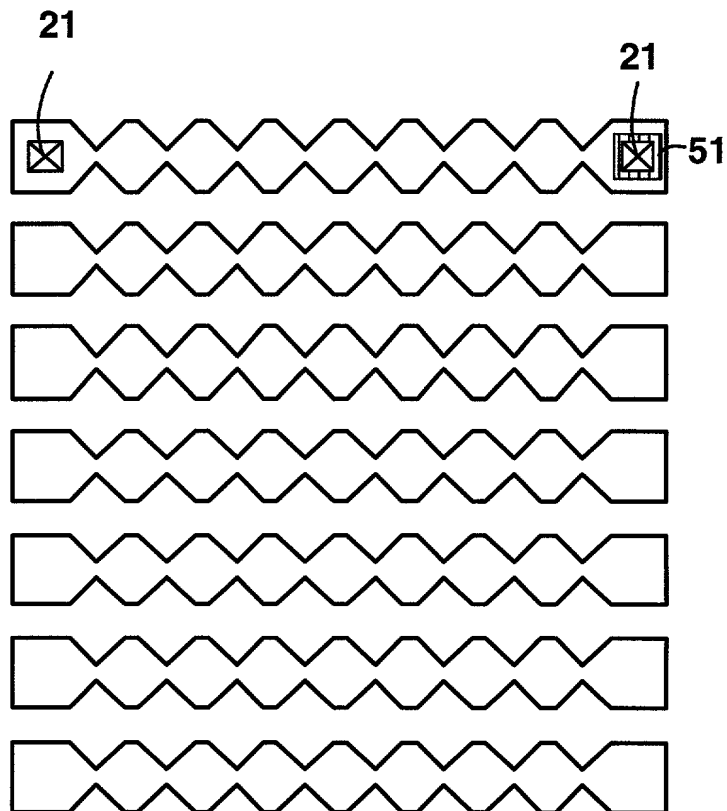


Fig. 8

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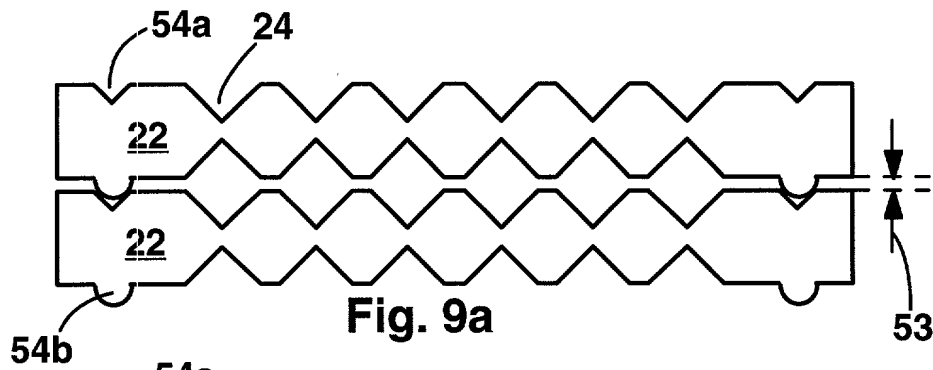


Fig. 9a

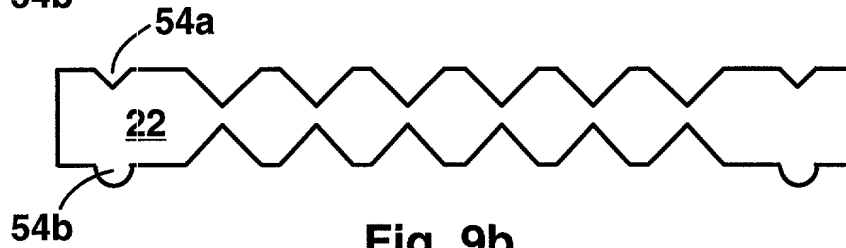


Fig. 9b

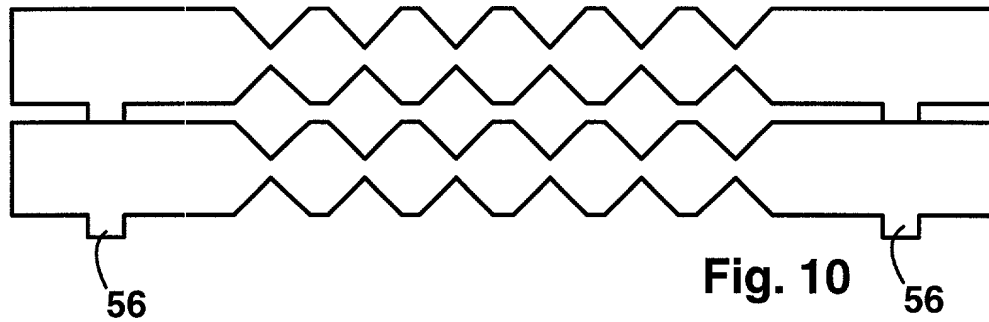


Fig. 10

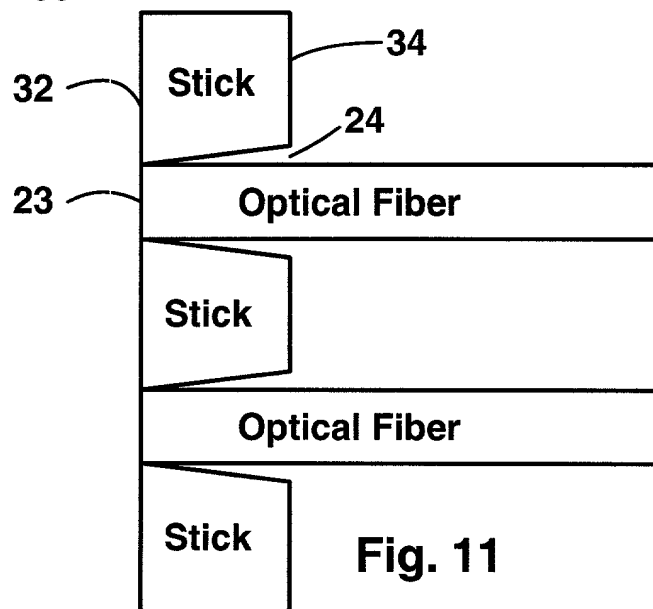


Fig. 11

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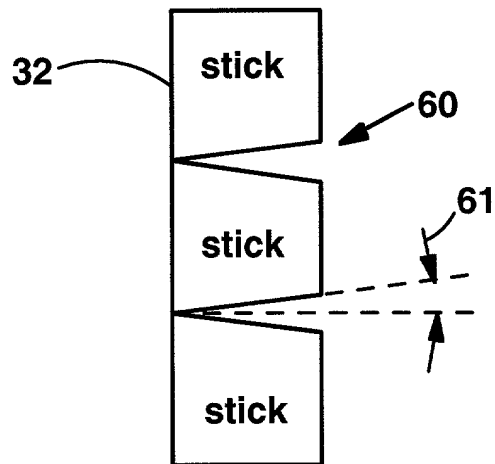


Fig. 12

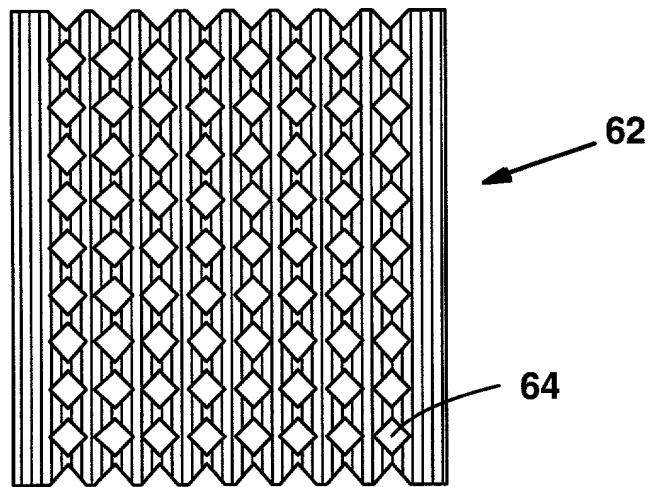


Fig. 13a

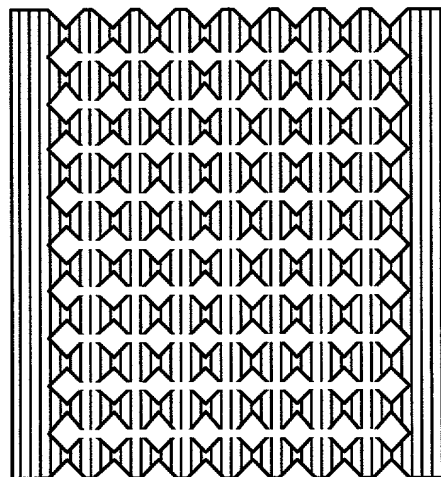


Fig. 13b

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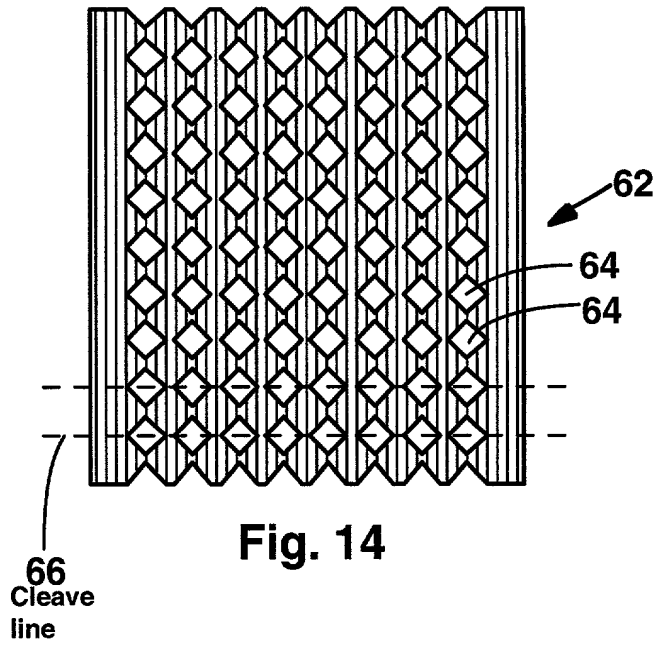


Fig. 14

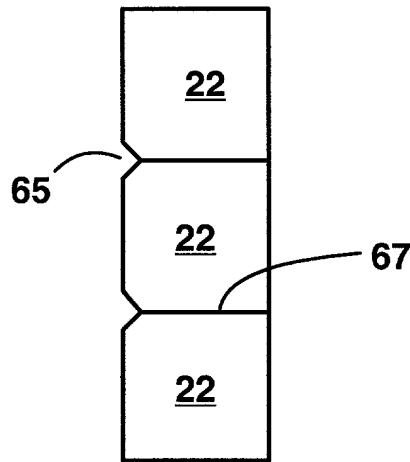
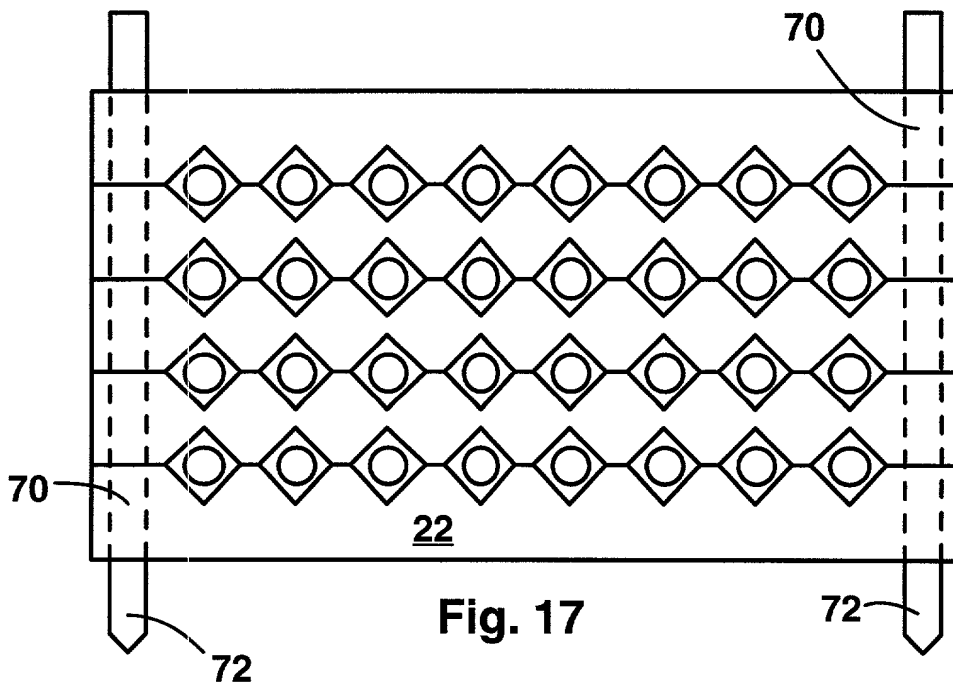
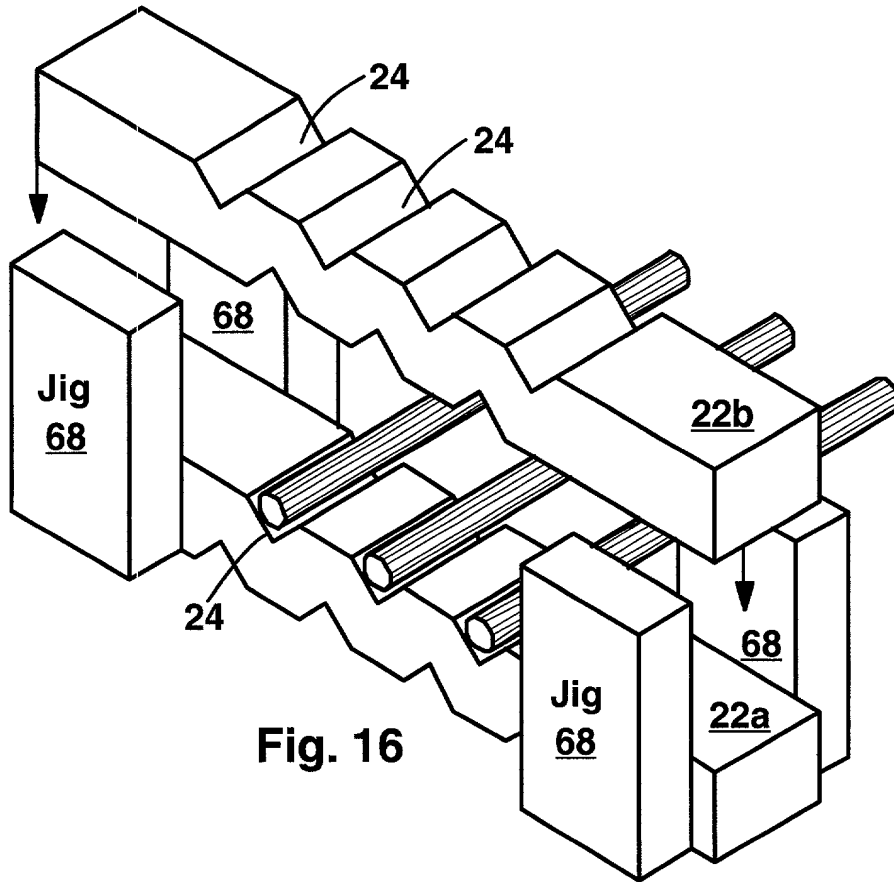
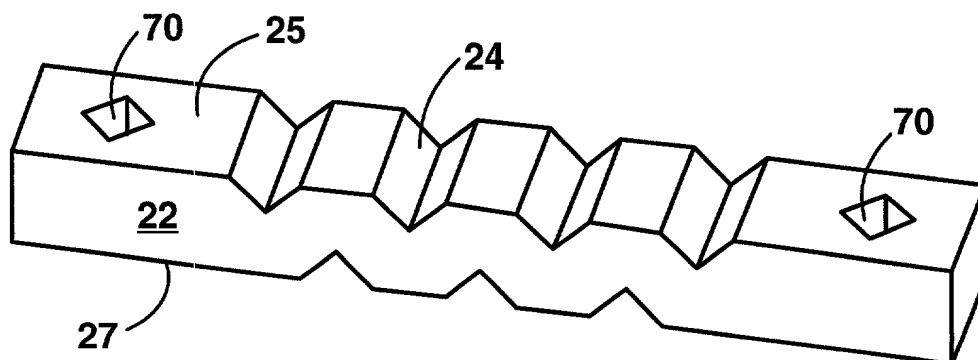


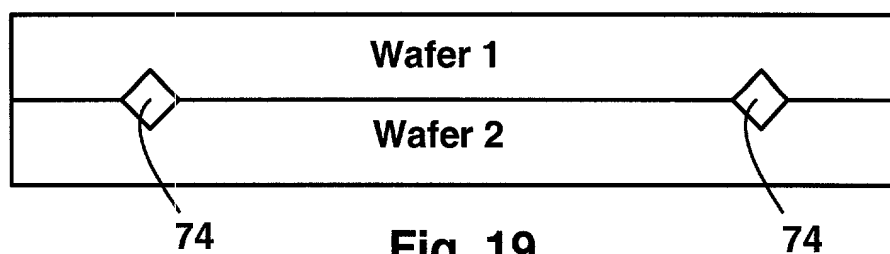
Fig. 15

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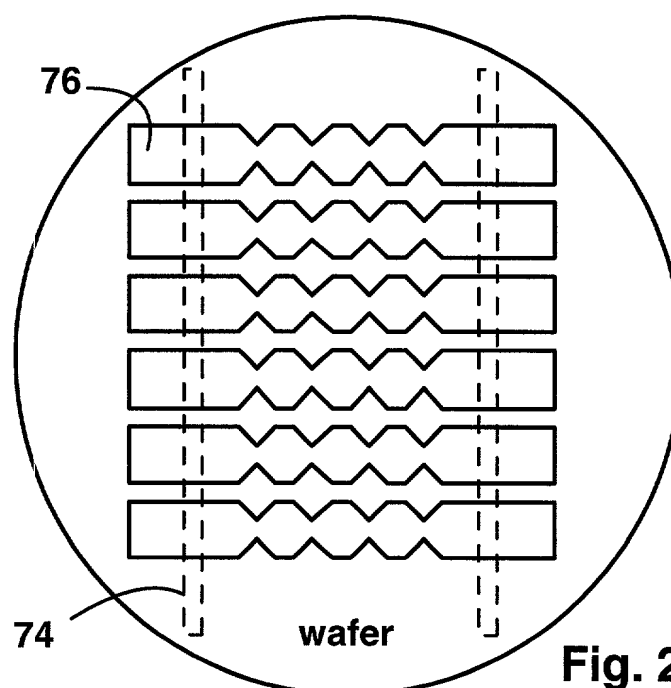


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**Fig. 18**



**Fig. 19**



**Fig. 20**



**wafer**



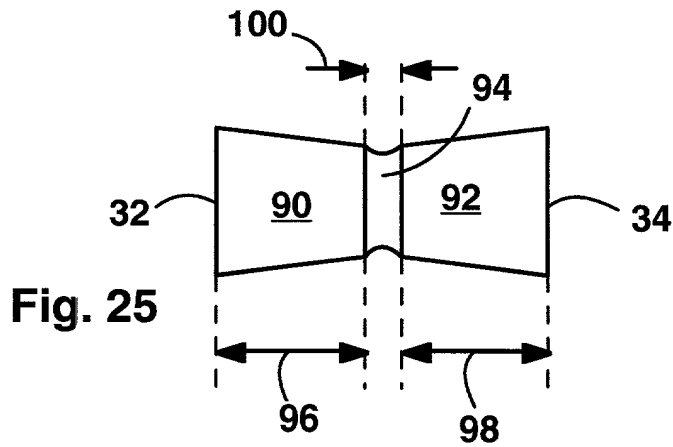
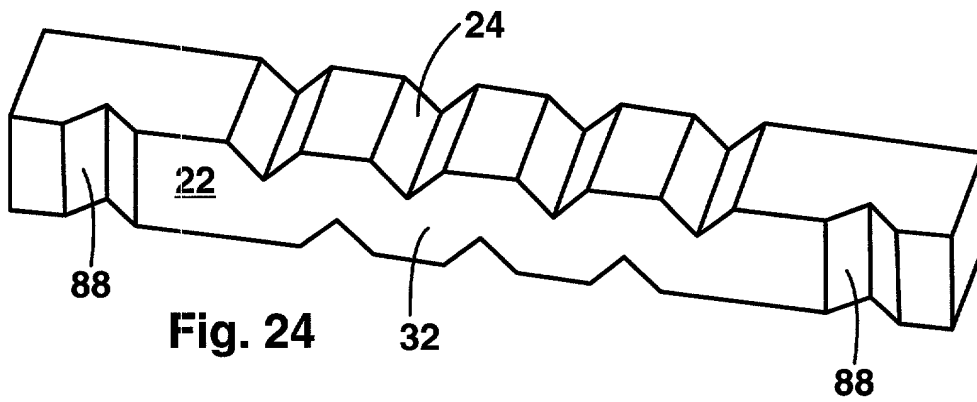
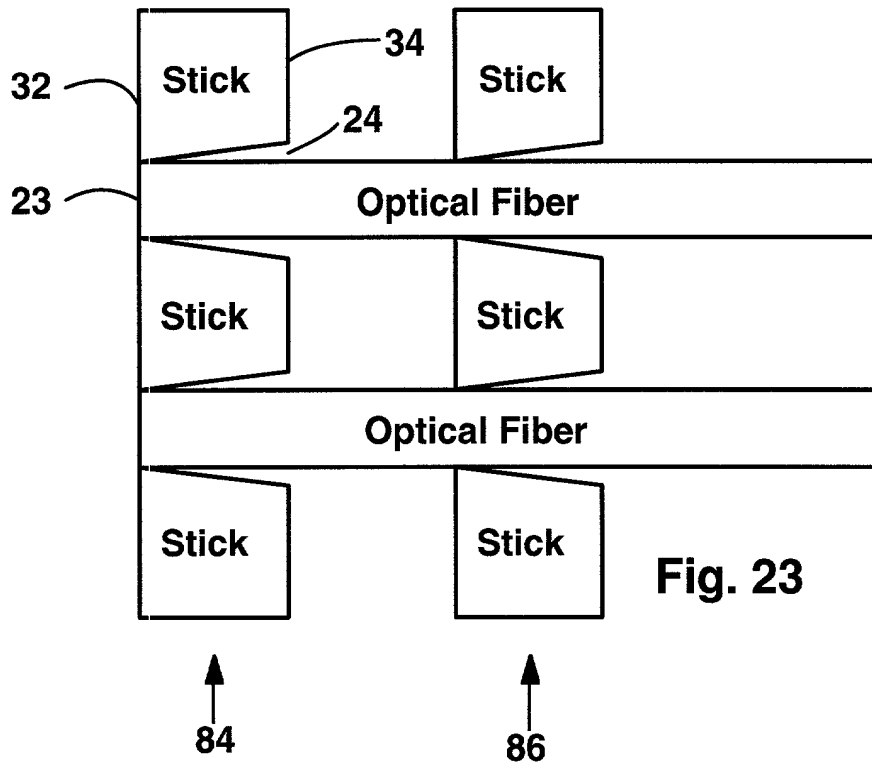
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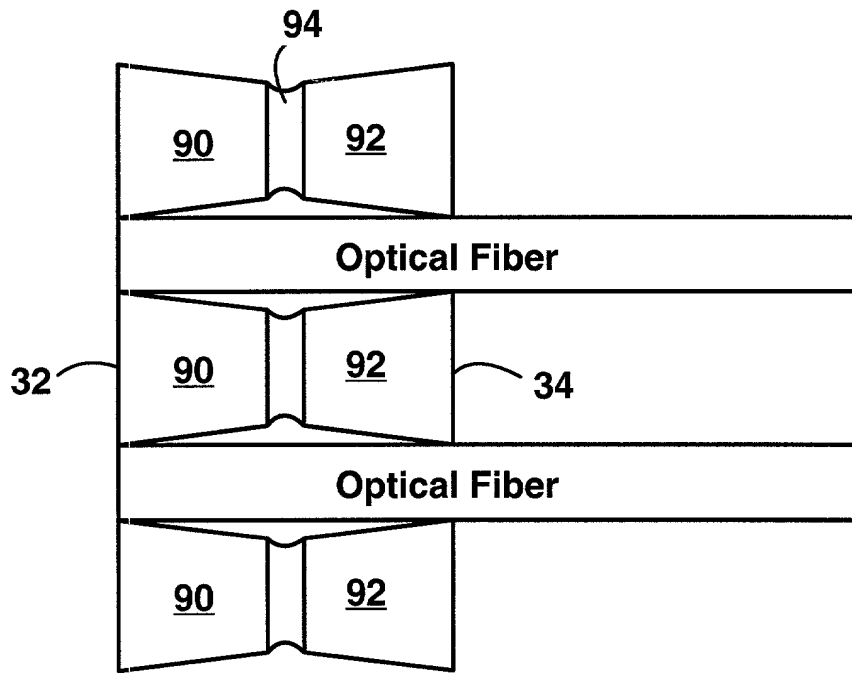


Fig. 26

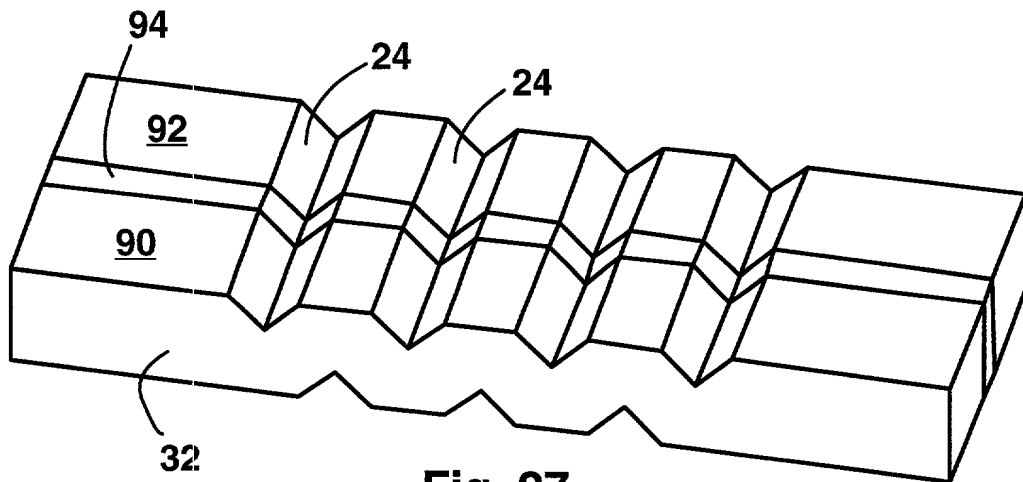
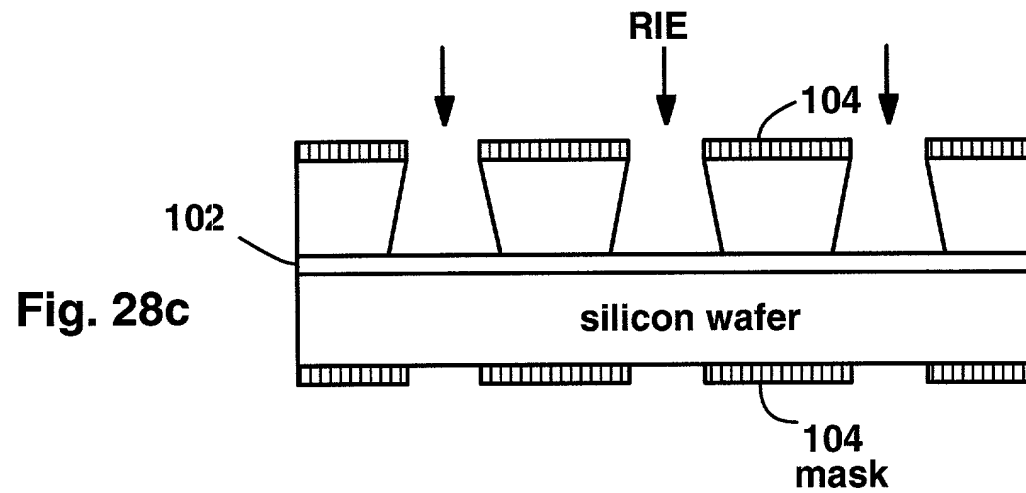
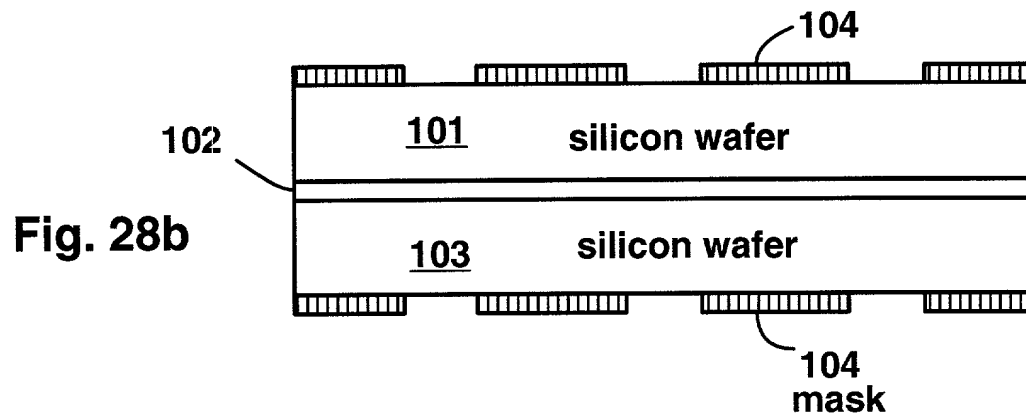
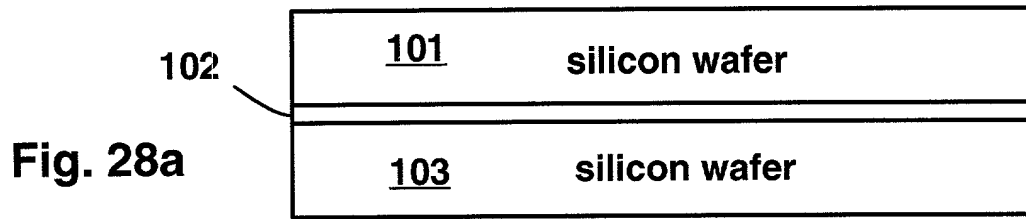
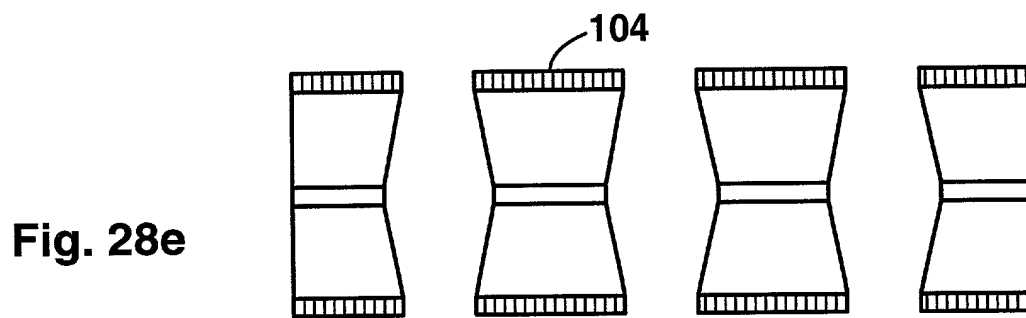
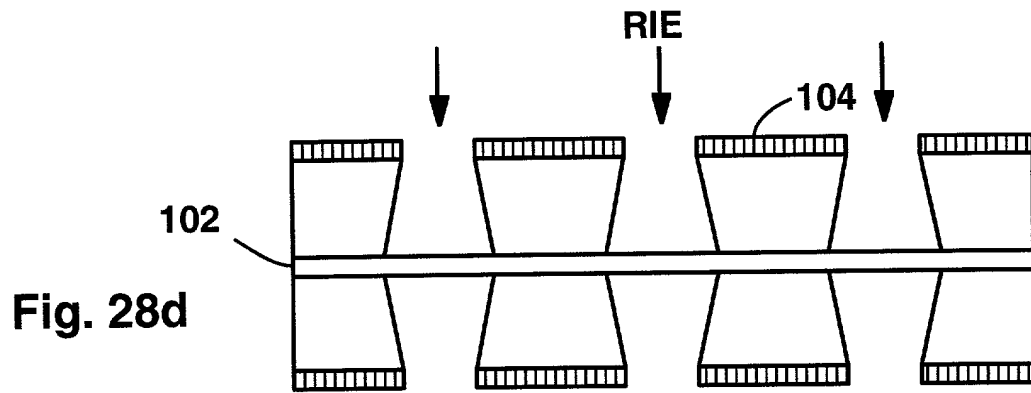


Fig. 27

005101-01300





## Declaration for Patent Application and Power of Attorney

As a below named inventor, I hereby declare that my residence, post office address, and citizenship are as stated below next to my name, and that I believe I am the original, first and sole inventor (if only one is listed) or an original, first and joint inventor (if plural names are listed) of the subject matter which is claimed and for which a patent is sought on the invention described in the attached specification entitled **2-Dimensional Optical Fiber Array Made from Etched Sticks having Notches**

First or Sole Inventor:	Full name:	DAVID W SHERRER	Citizenship:	United States
	Residence:	3291 Deer Run Road		
	Postal Address:	Blacksburg, VA, 24060		
Second Joint Inventor (if any):	Full name:	DAN A STEINBERG	Citizenship:	United States
	Residence:	410 Lee St		
	Postal Address:	Blacksburg, VA, 24141		
Third Joint Inventor (if any):	Full name:	MINDAUGAS F DAUTARTAS	Citizenship:	United States
	Residence:	2006 Sycamore Trail		
	Postal Address:	Blacksburg, VA, 24060		

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a). I claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

### PRIOR FOREIGN APPLICATION(S)

Country	Application Number	Date of Filing	Priority Claimed Under 35 U.S.C. §119
NONE			<input type="checkbox"/> Yes <input type="checkbox"/> No

I claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

### PRIOR U. S. APPLICATION(S)

Application No.	Filing Date	Status
60/195,559	04/06/2000	<input checked="" type="checkbox"/> Provisional <input type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Regular

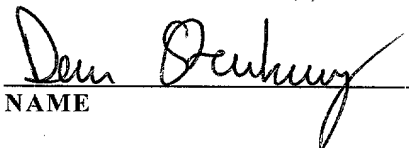
Thereby appoint Dan A Steinberg Reg No. 45,129 as my agent with full power of substitution to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith. Direct all correspondence to:

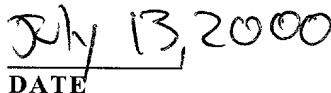
**Dan Steinberg**  
 ACT MicroDevices, Inc.  
 7586 Peppers Ferry Loop  
 Radford, VA, 24141  
 Telephone: 540-639-1986, ext. 26  
 Fax: 540-639-2246.

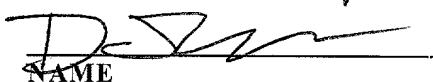
The attorney docket number for this case is: **ACT-120**.

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Title 18, §1001 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

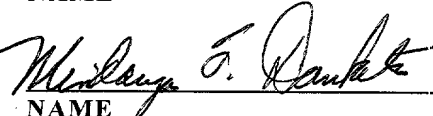
INVENTOR SIGNATURE(S)


  
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